Sheet 1 of 1

DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.: 09163-20901

SERIAL NO .: 09/929,886

INFORMATION DISCLOSURE STATEMENT

APPLICANT: Allen et al.

GROUP ART UNIT:

(Use several sheets if necessary)

FILING DATE: August 15, 2001

2161

U.S. PATENT DOCUMENTS

EXAMINER IŅITIAL	DOCUMENT NUMBER	DATE	Name	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE	
M	6,112,189	08/29/00	Rickard et al.			Mar. 19, 1997	
	6,016,483	01/18/00	Rickard et al.			Sep. 20, 1996	
	6,014,643	01/11/00	Minton			Aug. 26, 1996	
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M	4,412,287	10/25/83	Braddock, III			Sep. 15, 1982	
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PTO/SB/08A (10-01)
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stitute for form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT

C mpl te if Kn wn Application Number 09/929,886 Filing Date August 15, 2001 Anne E. Allen First Named Inventor **Group Art Unit** 2161 TBA **Examiner Name** 09163-20901 Attorney Docket Number

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Sheet of

		1	U.S. PATENT		
Examiner Cite No.'		Document Number Number - Kind Code ² (# known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
BILL	1	US- 2002/0035534 A1	03-21-2002	Buist et al.	
	2	US- 2002/0038275 A1	03-28-2002	Brixius	
	3	US- 4,412,287	10-25-1983	Braddock, III	-11/5
	4	US- 4,674,044	06-16-1987	Kalmus et al.	SECEIV4
	5	US- 4,903,201	02-20-1990	Wagner	HE
7	6	US- 6,014,643	01-11-2000	Minton	250 2 7 200
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		FOREIGN PA	TENT DOCU	MENTS		
Examiner Cit No	0'4	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ₀
	No.1	Country Code ³ - Number ⁴ - Kind Code ⁶ (# known)				
M.	11	JP 411185092A	07-09- 1999	Yamaguchi et al.	· .	٠
	12	EP 0401203 A2	05-12- 1990	Lupien et al.		
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Substitute for form 1449AVPTO Complete if Known **Application Number** 09/929,886 **INFORMATION DISCLOSURE** Filing Date August 15, 2001 STATEMENT BY APPLICANT First Named Inventor Anne E. Allen **Group Art Unit** 2161 JP 3600 (use as many sheets as necessary) TBA **Examiner Name** Sheet of 2 Attorney Docket Number 09163-20901

	OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS	,
Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T²
13	CNBC News Transcripts, "Special Committee Addresses Market Structure Issues at the New York Stock Exchange's Quarterly Meeting" April 6, 2000	
14	New York Stock Exchange NYSE Fully Implements Automatic Order Execution Service NYSE Direct + April 11, 2001	
	121 Af 1	\leq
	No. ¹	the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. CNBC News Transcripts, "Special Committee Addresses Market Structure Issues at the New York Stock Exchange's Quarterly Meeting" April 6, 2000 New York Stock Exchange NYSE Fully Implements Automatic Order Execution Service NYSE Direct + April 11,

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